09-20-00

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PTO/SB/05 (4/98)
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Patent and Trademark Office: U S DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No.	IMET0040
First Inventor or Application Identifier	Hazen et al.
Title	A Method of Characterizing Spectrometer Instruments and..
Express Mail Label No.	EL540885975US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: **Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231**

1. [X] * Fee Transmittal Form *(e.g., PTO/SB/17)* *(Submit an original and a duplicate for fee processing)*
2. [X] Specification [*Total Pages* 23]
   (preferred arrangement set forth below)
   - Descriptive title of the Invention
   - Cross References to Related Applications
   - Statement Regarding Fed sponsored R & D
   - Reference to Microfiche Appendix
   - Background of the Invention
   - Brief Summary of the Invention
   - Brief Description of the Drawings *(if filed)*
   - Detailed Description
   - Claim(s)
   - Abstract of the Disclosure
3. [X] Drawing(s) *(35 U.S.C. 113)* [*Total Sheets* 5]
4. Oath or Declaration [*Total Pages* 3]
   a. [X] Newly executed (original or copy)
   b. [ ] Copy from a prior application (37 C.F.R. § 1.63(d)) *(for continuation/divisional with Box 16 completed)*
      i. [ ] DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

** NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).*

5. [ ] Microfiche Computer Program *(Appendix)*
6. Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all necessary)*
   a. [ ] Computer Readable Copy
   b. [ ] Paper Copy (identical to computer copy)
   c. [ ] Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. [X] Assignment Papers (cover sheet & document(s))
8. [X] 37 C.F.R.§3.73(b) Statement *(when there is an assignee)* [X] Power of Attorney
9. [ ] English Translation Document *(if applicable)*
10. [ ] Information Disclosure Statement (IDS)/PTO-1449 [ ] Copies of IDS Citations
11. [ ] Preliminary Amendment
12. [X] Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*
13. [X] * Small Entity Statement(s) *(PTO/SB/09-12)* [ ] Statement filed in prior application, Status still proper and desired
14. [ ] Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
15. [ ] Other: .....

16. **If a CONTINUING APPLICATION,** *check appropriate box, and supply the requisite information below and in a preliminary amendment*

[ ] Continuation [ ] Divisional [X] Continuation-in-part (CIP) of prior application No 09 / 359,191

Prior application information: *Examiner* Unknown *Group / Art Unit:* Unknown

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

[X] *Customer Number or Bar Code Label* 22862 *(Insert Customer No. or Attach bar code label here)* *or* [ ] *Correspondence address below*

Name					
Address					
City		*State*		*Zip Code*	
Country		*Telephone*		*Fax*	

Name (Print/Type)	Michael A. Glenn	*Registration No (Attorney/Agent)*	30,176
Signature		*Date*	9/18/2000

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FEE TRANSMITTAL for FY 1999

Patent fees are subject to annual revision.
Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT ($) 439.00

Complete if Known	
Application Number	Unassigned
Filing Date	Herewith
First Named Inventor	Hazen et al.
Examiner Name	Unassigned
Group / Art Unit	Unassigned
Attorney Docket No.	IMET0040

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number: 07-1445

Deposit Account Name: Michael Glenn

☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2. ☒ **Payment Enclosed:**
☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
101	760	201	380	Utility filing fee	345.00
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	760	208	380	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) ($) 345.00

2. EXTRA CLAIM FEES

		Extra Claims		Fee from below	Fee Paid
Total Claims	26	-20** = 6	X	9	= 54.00
Independent Claims	2	- 3** = 0	X	39	= 0.00
Multiple Dependent					=

**or number previously paid, if greater, For Reissues, see below

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim, if not paid
109	78	209	39	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) ($)54.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	380	216	190	Extension for reply within second month	
117	870	217	435	Extension for reply within third month	
118	1,360	218	680	Extension for reply within fourth month	
128	1,850	228	925	Extension for reply within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,210	241	605	Petition to revive - unintentional	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	760	246	380	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	760	249	380	For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) _____

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) ($) 40.00

SUBMITTED BY

Name (Print/Type)	Michael Glenn	Registration No. (Attorney/Agent)	30,176	Telephone	650-474-8400
Signature				Date	9/18/2000

Complete (if applicable)

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STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN

Docket Number (Optional) IMET0040

Applicant, Patentee, or Identifier: Hazen et al.
Application or Patent No.:
Filed or Issued:
Title: A Method of Characterizing Spectrometer Instruments and Providing Calibration Models ....

I hereby state that I am
☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Instrumentation Metrics, Inc.

ADDRESS OF SMALL BUSINESS CONCERN 2085 Technology Circle, Suite 302
Tempe, AZ 85284

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in

☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:
☐ no such person, concern, or organization exists.
☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Donald Hetzel

TITLE OF PERSON IF OTHER THAN OWNER President and CEO

ADDRESS OF PERSON SIGNING 2085 Technology Circle, Suite 302, Tempe, AZ 85284

SIGNATURE Donald L. Hetzel DATE 7/17/01

PTO/SB/09 (12-97)
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STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) & 1.27(b))--INDEPENDENT INVENTOR

Docket Number (Optional)
IMET0040

Applicant, Patentee, or Identifier: Hazen et al.

Application or Patent No.: Unassigned

Filed or Issued: Herewith

Title: A Method of Characterizing Spectrometer Instruments and Providing Calibration Models ....

As a below named inventor, I hereby state that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

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[ ] the application identified above.

[ ] the patent identified above.

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Kevin H. Hazen	Thomas B. Blank	Stephen L. Monfre
NAME OF INVENTOR	NAME OF INVENTOR	NAME OF INVENTOR
Kevin H. Hazen	Thomas B. Blank	Stephen L. Monfre
Signature of inventor	Signature of inventor	Signature of inventor
7/26/00	7-26-00	26 July 2000
Date	Date	Date

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STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) & 1.27(b))--INDEPENDENT INVENTOR	Docket Number (Optional) IMET0040

Applicant, Patentee, or Identifier: Hazen et al.

Application or Patent No.: Unassigned

Filed or Issued: Herewith

Title: A Method of Characterizing Spectrometer Instruments and Providing Calibration Models ....

As a below named inventor, I hereby state that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

[X] the specification filed herewith with title as listed above.

[ ] the application identified above.

[ ] the patent identified above.

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Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

[X] No such person, concern, or organization exists.

[ ] Each such person, concern, or organization is listed below.

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Timothy L. Ruchti		
NAME OF INVENTOR	NAME OF INVENTOR	NAME OF INVENTOR
Timothy L. Ruchti		
Signature of inventor	Signature of inventor	Signature of inventor
7/26/2000		
Date	Date	Date

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A METHOD OF CHARACTERIZING SPECTROMETER INSTRUMENTS AND PROVIDING CALIBRATION MODELS TO COMPENSATE FOR INSTRUMENT VARIATION

CROSS-REFERENCE TO RELATED APPLICATION

This application is a Continuation-in-part of U.S. Patent Application Ser. No. 09/359,191; filed on July 22, 1999.

BACKGROUND OF THE INVENTION

FIELD OF THE INVENTION

The invention relates to variation in spectrometer instruments. More particularly the invention relates to characterizing spectrometer instruments by classifying their spectral responses into a limited number of clusters and developing calibration transfer models between clusters that compensate for instrument variations.

DESCRIPTION OF THE PRIOR ART

Many of the analytical applications for spectrometers require calibration data sets that are time-consuming and expensive to create. Typically, these calibrations are highly specific. For example, apparently identical instruments produced by the same manufacturer may exhibit minor instrument variations; such variations may be seen when one instrument is built with a component that varies slightly from the same component in another instrument. In addition, a calibration set for an instrument produced by one manufacturer is generally not suitable for a similar instrument produced by another manufacturer. Furthermore, repairs to a single instrument can cause the instrument's spectral

response to vary. As an instrument ages, it's spectral response may change. An instrument's spectral response may vary according to fluctuations in the operating environment. In applications requiring analysis of very low concentration analytes, non-invasive blood glucose prediction, for example, even minor instrument variation can introduce an unacceptable degree of error into the analysis. Providing another calibration model that takes the instrument's current spectral response into account can compensate for instrument variation. However, development of new calibration models is time-consuming, labor-intensive and costly.

In the development of spectroscopy-based analyzers for biomedical applications, there is a need for production of thousands to as many as millions of analyzers for a specific application. No methodology exists for providing calibrations for large numbers of instruments quickly and inexpensively.

Therefore, efforts have been directed at transferring calibrations from one analyzer to another. See, for example, E. Bouveresse, C. Hartmann, D. Massart, I. Last, K. Prebble, *Standardization of near-infrared spectrometric instruments,* Anal. Chem., vol. 68, pp. 982-990 (1996) and M. Defernez, R. Wilson, *Infrared spectroscopy: instrumental factors affecting the long-term validity of chemometric models*, Anal. Chem., vol. 69, pp. 1288-1294 (1997), and E. Bouveresse, D. Massart, P. Dardenne, *Calibration transfer across near-infrared spectrometric instruments using Shenk's algorithm: effects of different standardization samples*, Analytica Chimica Acta, vol. 297, pp. 405-416, (1994) and Y. Wang, D. Veltkamp, B. Kowalski, *Multivariate instrument* calibration, Anal. Chem., vol. 63, pp. 2750-2756 (1991).

Most of the reported methods of calibration transfer have been applied in situations involving high-concentration analytes, wherein the signal-to-noise ratio is high. Because these currently known methods act as a smoothing function when transferring calibrations, they degrade the signal to noise that

can be observed, thus hindering analysis of low concentration analytes. Additional problems of changes in resolution or bandwith across time or between instruments have not been addressed.

Furthermore, the currently known methods have only been successfully applied in situations involving a small number of instruments. The reported methods are not capable of modeling the complexity encountered when large numbers of instruments are involved.

A need exists for the calibration of large numbers of analyzers. It would be desirable to provide a means of reducing the complexity inherent in the transfer of calibrations to large numbers of analyzers. It would also be advantageous to provide a means of transferring calibrations without significant degradation of the signal-to-noise ratio, rendering calibration transfer practical in analysis of low concentration analytes.

SUMMARY OF THE INVENTION

The invention provides a method of characterizing large numbers of spectrometer instruments by classifying their spectra into a limited number of previously defined clusters according to similarity of spectral features and performance characteristics. The method may also be used to track variation over time within a single instrument. The spectral features used for classification may be related to known instrument parameters, or they may be abstract features derived using a variety of computational methods. The clusters are defined in advance based on an exemplar data set, using either supervised or unsupervised methods. Calibration models for each cluster compensate for instrument variation, either across instruments or across time within a single instrument.

In a preferred embodiment of the invention, calibration models are provided using a method of calibration transfer wherein the clusters are mapped to each other, so that a calibration transferred from one cluster to another need only model the difference between the two clusters. In an alternate embodiment, a different calibration is separately calculated for each cluster. In either embodiment, the number of calibration transfers is significantly reduced since each cluster represents a multitude of instruments.

BRIEF DESCRIPTION OF THE DRAWINGS

Figure 1 provides a block schematic diagram of a method of characterizing spectrometer instruments by clustering according to spectral features, according to the invention;

Figure 2 provides a flow diagram of a method of generating calibration models by transferring a master calibration to slave calibration models, according to the invention;

Figures 3A and 3B illustrate decreases in spectral cutoff related to decreases in detector temperature in a spectrometer instrument; and

Figure 4 illustrates changes in light throughput related to changes in source temperature in a spectrometer instrument.

DETAILED DESCRIPTION

The invention provides a method of characterizing spectrometer instruments by classifying spectral responses from a large number of spectrometers (analyzers) into a limited number of previously defined clusters. The clusters constitute groups that are defined based on the similarity of specific features.

Grouping of instruments according to spectral features and performance characteristics reduces the spectral variation between instruments in a given group. Therefore, spectral measurements corresponding to an individual cluster are more homogeneous than those from the entire group of analyzers. Calibrations created for each cluster may then be utilized for subsequent analysis. The calibration created for a cluster will have instrument variations included in the model that mirror variations resulting from the particular analyzer employed for the subsequent analysis. Calibration models specific to the clusters are expected to be less complex and have an improved level of accuracy. Therefore, multivariate analysis will require fewer factors to model instrument variation resulting in earlier factors modeling the sample and earlier factors modeling small absorbing analytes. The net result is that fewer factors are required for sample analysis and a more robust algorithm is created.

In one embodiment of the invention, a separate calibration data set is required for every cluster, requiring a large number of samples in a calibration set for every cluster. In the preferred embodiment, sufficient samples for a calibration model are only required in a single cluster. Principal features defining that cluster and other clusters are determined, and the clusters are mapped to each other, revealing the specific differences from one cluster to another. Subsequently, the calibration from the initial cluster is transferred to another cluster based upon the specific differences between clusters.

The parent application to the current application, S. Malin and T. Ruchti, *An intelligent system for noninvasive blood analyte prediction*, U.S. Patent Application Ser. No. 09/359,191 (July 22, 1999), provides a detailed description of a method of classifying spectral measurements into previously defined clusters through similarities observed in absorbance spectra. The classification system of the sampled tissue volume of the subjects is herein expanded to include classification of instrumentation variations.

Referring now to Figure 1, a general method of classifying spectral measurements into previously defined clusters is represented. Briefly the steps of the method are:

1. Measurement. (11)

2. Classification (12), in which the measured spectrum is assigned membership in any one of a number of predefined clusters 13.

3. Calibration (14), in which calibration models suited to each cluster are provided.

4. Identifying outliers (15)

MEASUREMENT

In general, instrumental variations may affect spectral response by producing either signal intensity changes, bandwidth changes, wavelength changes, or combinations thereof. These instrumental variations may include:

1. wavelength shifts;
2. nonlinear wavelength shifts;
3. wavelength expansions;
4. wavelength contractions;
5. nonlinear wavelength expansions;
6. source intensity drifts;
7. blackbody profile changes;
8. bandwidth changes;
9. resolution changes;
10. baseline deviations;
11. change with time;
12. temperature effects;
13. detector response;

14. differences in optical components (e.g. long-pass filters or fiber optics);
15. variation related to mounting of references;
16. differences in the optical interface to the sample (fiber spacing);
17. linearity;
18. detector cut-off;

and many others, which will be apparent to those skilled in the art. Spectra used for classification will typically be those of commonly known standards. Standards particularly useful for classifying shifts observed in the wavelength axis include polystyrene, rare earth oxides: holmium oxide, erbium oxide or dysprosium oxide, for example; or combinations thereof. Standards such as the diffuse reflectance standards supplied by Labsphere, Inc. (North Sutton NH) may be used to classify shifts in the intensity axis. Spectra of samples may also be used for classification. Additional intensity and wavelength standards will be known to those skilled in the art.

In the specific case of near-IR noninvasive glucose determination these standards cover the near-IR spectral region. Additional spectroscopy and chromatography-spectroscopy hyphenated techniques such as AA (atomic absorption spectroscopy) or GC-MS (gas chromatography mass spectroscopy) will each require their own standards which are known by those skilled in the art. Additionally, spectra of tissue phantoms collected on an instrument may also be used to characterize that instrument. Tissue phantoms are helpful in characterizing an instrument because spectra of these phantoms simulate noninvasive spectra of living tissue. There are tissue phantoms that simulate the absorption coefficients of various skin tissues; while others simulate the scattering coefficients of the body. Some common simulants include:

1. milk and milk products
2. milk products in combination with India ink, used to adjust the absorption coefficient;

3. emulsions of fatty substances in water maintained in solution with an emulsifier such as lecithin. One such commercial product is INTRALIPID, supplied by Kabivitrum AB (Stockholm, Sweden);
4. Intra-serum and Intra-gel. See K. Hazen, J. Welch, S. Malin, T. Ruchti, A Lorenz, T. Troy, S. Thenadil, T. Blank, *Intra-serum and intra-gel for modeling human skin tissue*, U.S. Patent Application Ser. No. 09/502,877 (February 10, 2000).

Other scattering and absorbing mediums are known to those skilled in the art. Concentrations of these tissue simulants may be adjusted to match the scattering and absorption coefficients of body tissues such as skin or internal organs.

It will also be apparent that a set of exemplar measurements is required for cluster definition and development of calibration models, in addition to the actual spectral measurements utilized for classification.

CLASSIFICATION

New spectral measurements are passed to a pattern classification system that classifies the measurements into previously defined clusters having a high degree of internal constistency through spectral features related to instrumental variation.

The classification itself includes the following steps:

1. Feature extraction; and
2. Classification of features according to a classification model.

FEATURE EXTRACTION

The process of feature extraction is more fully described in the parent application to the current application, U.S. Patent Application Ser. No. 09/359,191, *supra.* Feature extraction is any mathematical transformation that

enhances a particular aspect or quality of the data that is useful for interpretation. Features may be of two categories:

1. Abstract, and
2. Simple.

Instruments may be classified by abstract features, meaning that they may be classified using computational methods. These methods may be supervised or unsupervised. Examples include plotting primary principal components versus one another and identifying clusters of results; discriminant analysis, such as measurement of the Mahalanobis distance, and k-means clustering. Additional methods will be readily apparent to those skilled in the art.

It is important to note that the clustering techniques listed above are not mutually exclusive. Clustering of raw spectra into one or more groups may be achieved through one or more of these methods and with combinations of these approaches.

Simple features are derived from an *a priori* understanding of the system, and can be related directly to an instrument parameter or component (or parameters or components). For example, the measured bandwith, noise characteristics, or linearity and detector cutoffs.

CLUSTER DEFINITION

As indicated above, clusters must have been previously defined, using a data set of exemplar spectral measurements. Cluster definition is the assignment of the measurements in the exploratory data set to clusters. After cluster definition, the measurements and class assignments are used to determine the mapping from the features to cluster assignment.

Cluster definition is performed using either supervised or unsupervised methods. In the supervised case, clusters may be defined using specific knowledge of the system. For example, source intensity and detector temperatures have specific effects on the spectra, as demonstrated further below. The use of *a priori* information in this manner is the first step in supervised pattern recognition, which develops classification models when the class assignment is known.

Alternatively, clusters may be defined in an unsupervised manner using abstract features such as clustering within plots of principal component scores 'x' versus spectral loading 'y'. The result is that within a given cluster, all of the spectra have the same characteristics (interferences, instrument variations or sample issues). Clusters formed from features with physical meaning can be interpreted based on the known underlying phenomenon causing variation in the feature space.

CLASSIFICATION

Subsequent to class definition, a classifier is designed through supervised pattern recognition. A model is created, based on cluster definitions, that transforms a measured set of features to an estimated classification. The classification model is a method for determining a set of similarity measures with the predefined clusters. A decision rule assigns membership on the basis of a set of measures calculated by a decision engine.

CALIBRATION

Once the spectra have been classified into clusters, calibration models 14 are required for each cluster. Provision of the clusters is by one of two methods. In the preferred embodiment, a master calibration is developed for a first cluster, subsequently the master calibration is transferred to slave calibrations, one for each remaining cluster. An alternate embodiment, described further below, individually calculates calibrations for each cluster.

In the case of spectra collected utilizing a master and slave instrument, the term "calibration transfer," as commonly used in the art, may have different meanings. Calibration transfer may refer to transforming the slave spectral to look like the master spectra or *vice versa*. Additionally, spectra from both the master and the slave can be transferred to a common standard spectrum not present in the master or slave data sets. Furthermore, calibration transfer can refer to preprocessing steps, multivariate adjustments of the sample spectra, or adjustments to the predicted analyte concentrations based upon standards.

Referring now to Figure 2, the process of calibration transfer is shown. Calibrations 14 are required for each of *n* clusters. A master calibration 21 is calculated for a first cluster; then, to provide calibrations for each of the remaining *n* clusters, the master calibration is transferred to slave calibrations. In this case, Calibration transfer refers to the process of transforming spectra on a slave instrument to match the characteristics of the master such that the master calibration can be applied to the slave spectra. For clusters, calibration transfer refers to the process of transforming spectra on a slave instrument to match the characteristics of the master such that a new calibration is generated that satisfies the specification of a cluster other than the one for which the master cluster was developed. The clusters may also be organized into groups of clusters, so that the master calibration is transferred to slave calibrations 23, which in turn are transferred to the slave calibration for the various clusters within each group.

Prior art methods of calibration transfer have been unsuccessful at modeling the complexity involved in providing calibration models for large numbers of instruments. Classifying the spectral measurements in to clusters having a high degree of internal consistency reduces the complexity of the problem to a level that makes it possible to apply calibration transfer to large numbers of instruments. Clustering the acquired spectra into a limited number of subgroups

allows the calibration transfer issues to be broken up into subsets so that only a subset of the overall issues needs to be addressed between any two clusters. The result is that within a given cluster, all of the spectra have the same characteristics. A calibration is generated for a given cluster using spectra of samples containing the limited number of characteristics of that cluster. This eliminates having to deal with all of the variations possible in the raw measurements, significantly reducing the complexity that needs to be modeled by the calibration. Thus, the calibration utilized for a given cluster will have instrument variations included in the model that are similar to variations resulting from the analyzer employed. As each cluster has its own specification, the calibration transfer technique need only deal with the differences between those two clusters. For example, if the only difference between the clusters is a linear x-axis shift, then the calibration transfer technique need only deal with that parameter. This allows a more specific calibration transfer technique to be employed that is more robust, resulting in fewer factors, since fewer instrument variations need to be modeled. This will result in analysis of lower concentration analytes due to retention of signal to noise in the calibration transfer step.

Typically, calibration transfer techniques have to address instrument-to-instrument variations, such as wavelength shifts, nonlinear wavelength shifts, wavelength expansions (contraction), nonlinear wavelength expansions, source intensity drifts, blackbody profile changes, bandwidth (resolution) changes, baseline deviations, change with time, temperature effects and others known to those skilled in the art.

However, in addition to instrumentation issues in calibration transfer, sample composition and sample handling considerations are very important in calibration transfer. Therefore, every sample analyzed for prediction of results should be an interpolation within the matrix space of the calibration data set; otherwise the calibration may not calculate an accurate prediction of analyte

concentration. For example, if the calibration data set contains glucose samples ranging from 40 to 400 mg/dL, then predictions on samples with glucose outside of this range are suspect.

Thus, an important additional benefit of the invented classification algorithm is that outlier spectra may be identified, as shown in Figure 1. Each cluster has its own set of classification requirements. If a spectrum does not fall within the parameters of a given cluster, another cluster must be found which has parameters allowing analysis of that spectrum. If no cluster is found, then the sample is reported as an outlier rather than having a value reported for the analyte that may not be correct. In this manner, analysis on samples or instruments for which no satisfactory calibration model has been developed is prevented.

Spectra classified as outliers may assume two forms. In some instances, the outlier spectrum is close to a given cluster. In such a case, conventional calibration transfer techniques may be applied to this spectrum to transform the spectrum such that it falls within one of the clusters for which calibrations exist. In case of failure, the spectrum remains classified as an outlier, as will spectra that are characterized as gross outliers.

Classification and calibration transfer need not be limited to differences in instrumentation; it may also be applied to sample spectra for analyte prediction. For example, a cluster may be defined for healthy 18 to 30 year old men. A noninvasive glucose model may be built for this narrow demographic. A separate cluster may be for 18 to 30 year old non-pregnant women. Differences between the two clusters such as body fat and sampled volume may be addressed and a calibration transfer technique may be optimized for those differences based on relatively few spectra, thus allowing a glucose model initially generated for a narrow demographic to be gradually expanded.

The foregoing embodiment does not require calibrations to be built for every cluster, and thereby provides the important advantage of sparing the considerable time, money and effort required for building a separate calibration for every cluster. The actual calibration transfer technique employed may be selected from the many algorithms known to those skilled in the art.

An alternative embodiment classifies spectra into clusters, as in the preferred embodiment, and builds individual calibrations for each cluster. The requirement for calibration transfer is eliminated at the expense of the requirement for more spectra. However, an additional measure of reliability is gained by having clusters with well-defined and narrow parameters. As in the previous embodiment, fewer instrument variations need to be modeled so that early factors can focus on analyte information, resulting in a more robust model.

While the foregoing description of the invention has been directed to characterizing different instruments, the invented method also finds application in classifying spectra from a single instrument according to known variations in instrument components or known environmental variations. Two examples are described.

1. The cutoff of the 2.6 Ì m InGaAs detector employed in many near-IR analyzers blue shifts as the temperature of the detector decreases. Air spectra collected on a NICOLET 860, supplied by the Nicolet Instrument Corporation (Madison WI) with the InGaAs detector ranging from 0 to –20°C are presented in Figure 3A. The spectral cutoff region from 2400 to 2600 nm is expanded in Figure 3B. The cut-off decreases as the detector temperature decreasés. Using reference or air spectra, a simple analysis, such as determining the wavelength at which 10% of the peak intensity is observed, allows the instrument to be classified as to whether the detector is properly cooled and to the extent that it was cooled.

2. As a tungsten halogen source increases in temperature, the blackbody emission increases in magnitude and additional light throughput is observed. For example, in diffuse reflectance spectra of a 5% Labsphere diffuse reflectance standard, the overall intensity is observed to increase as the source temperature increases, as shown in Figure 4. This effect can be used to classify the instrument in terms of the source temperature and total light throughput.

It is a relatively simple task to characterize the instrument in terms of additional components. Examples are slit width, affecting bandwidth or room temperature, affecting total light throughput. There are, however, a limited number of components to a spectrometer; it has been observed that instruments group into a relatively small number of clusters.

Once an instrument, or a given spectrum, is classified into a cluster, the appropriate calibration routine can be employed. A single analyzer may be loaded with multiple calibration routines, as the instrument may vary during its lifetime. In fact, environmental factors may cause the appropriate calibration to change with every spectrum collected.

This instrument classification approach was designed for use on noninvasive glucose analyzers where glucose is measured using diffuse reflectance spectra of skin on the human body. However, the same technology can be applied to any form of noninvasive analysis including but not limited to: noninvasive analysis of albumin, globulin, urea, creatinine, oxygen, hemoglobin A_1C and electrolytes such as Na^+, K^+, Cl^-. The technology may also be utilized in biomedical applications.

The classification approach disclosed here finds application in various fields of endeavor, the agricultural field, for example. Exemplary agricultural

applications are: analysis of fat in milk, protein or moisture analysis in wheat, or analysis of sugars in fruits. The classification approach may also benefit pharmaceutical companies in the analysis of intact tablets or in the characterization of raw materials. Finally, petrochemical companies may utilize the method in classification of fuels, fuel by-products and in raw fuel materials. In general, this technique is useful wherever a large number of analyzers are utilized to quantify analytes in samples.

Although the invention is described herein with reference to the preferred embodiment, one skilled in the art will readily appreciate that other applications may be substituted for those set forth herein without departing from the spirit and scope of the present invention. Accordingly, the invention should only be limited by the claims included below.

CLAIMS

What is claimed is:

1. A method of characterizing spectrometer instruments according to instrumental variation, comprising the steps of:

providing standard spectral measurements from at least one spectrometer instrument; and

classifying said spectral measurements into predefined clusters on the basis of extracted spectral features; and

providing calibration models for each of said predefined clusters, wherein said calibration model compensates for said instrumental variation.

2. The method of Claim 1 wherein said instrumental variation comprises any of:

wavelength shifts;
nonlinear wavelength shifts;
wavelength expansions;
wavelength contractions;
nonlinear wavelength expansions;
source intensity drifts;
blackbody profile changes;
bandwidth changes;
resolution changes;
baseline deviations;
changes over time;
temperature effects;
detector response;
differences in optical components (e.g. long-pass filters or fiber optics);
variation related to mounting of references;

differences in the optical interface to the sample (fiber spacing);
linearity; and
detector cut-off.

3. The method of Claim 1, wherein said standard spectra are measured on a plurality of spectrometer instruments.

4. The method of Claim 1, wherein said standard spectral are measured on a single spectrometer instruments at successive time intervals.

5. The method of Claim 1, wherein said classifying step comprises the steps of:

extracting features; and

classifying said features according to a classification model and decision rule.

6. The method of Claim 5, wherein said feature extraction step comprises any mathematical transformation that enhances a particular aspect or quality of data that is useful for interpretation.

7. The method of Claim 3, wherein said classification model comprises means for determining a set of similarity measures with predefined classes.

8. The method of Claim 5, wherein said decision rule comprises means for assigning class membership on the basis of a set of measures calculated by a decision engine.

9. The method of Claim 4, wherein individual features are divided into two categories, said categories comprising:

abstract wherein said features are extracted using various computational methods ; and

simple features that are derived from an *a priori* understanding of a system, wherein said feature is directly related to an instrument parameter or component.

10. The method of Claim 7, wherein said abstract features are calculated using any of:

plotting primary principal components versus one another and identifying resulting clusters;

discrminant anlysis; and

k-means clustering.

11. The method of Claim 5, wherein said classification step further comprises the step of employing factor-based methods to build a model capable of representing variation in a measured spectrum related to variations in spectral response;

wherein projection of a measured absorbance spectrum onto said model constitutes a feature that represents spectral variation related to instrument variation.

12. The method of Claim 5, wherein said classifying step further comprises the steps of:

measuring the similarity of a feature to predefined clusters; and

assigning membership in a cluster.

13. The method of Claim 5, further comprising the step of:

assigning measurements in an exploratory data set to clusters.

14. The method of Claim 13, further comprising the step of:

using measurements and class assignments to determine a mapping from features to cluster assignments.

15. The method of Claim 13, further comprising the steps of:

defining clusters from said features in a supervised manner, wherein each set of features is divided into two or more regions, and wherein classes are defined by combinations of feature divisions;

designing a classifier subsequent to class definition through supervised pattern recognition by determining an optimal mapping or transformation from the feature space to a class estimate which minimizes the number of misclassifications; and

creating a model based on class definitions which transforms a measured set of features to an estimated classification.

16. The method of Claim 1, further comprising the step of providing calibration models for analysis of new sample measurements.

17. The method of Claim 16, wherein said calibration models model differences between said predefined clusters.

18. The method of Claim 16, wherein a master calibration model is developed for a first of said clusters from a set of exemplar spectra with reference values and pre-assigned classification definitions.

19. The method of Claim 18, further comprising the step of transferring said master calibration model to a plurality of slave calibration models, wherein a slave calibration model is calculated for each remaining cluster, and wherein a transform modifies said master calibration model to a slave calibration model in accordance with principal features defining each of said classes.

20. The method of Claim 19, wherein said transferring step comprises the steps of:

transferring said master calibration model to a first slave calibration model;

transferring said first slave calibration model to a second slave calibration model;

and repeating said transfer from one slave calibration model to another slave calibration model, until a calibration has been provided for each of said predefined clusters;

wherein a transform modifies said transferred calibration models in accordance with principal features defining each of said clusters.

21. The method of Claim 18, further comprising the step of transferring said master calibration model to a plurality of slave calibration models, wherein a slave calibration model is calculated for each remaining cluster, and wherein a transform modifies said slave calibration model to said master calibration model in accordance with principal features defining each of said classes.

22. The method of Claim 21, wherein said transferring step comprises the steps of:

transferring said master calibration model to a first slave calibration model;

transferring said first slave calibration model to a second slave calibration model;

and repeating said transfer from one slave calibration model to another slave calibration model, until a calibration has been provided for each of said predefined clusters;

wherein a transform modifies said transferred calibration models in accordance with principal features defining each of said clusters.

23. The method of Claim 16, wherein a different calibration model is developed for each class, and wherein said calibration models are developed

from a set of exemplar spectra, with reference values and pre-assigned cluster definitions.

24. The method of Claim 23, wherein a spectrum is assigned to one of many predefined clusters for which a calibration model has been developed.

25. The method of Claim 1, further comprising the steps of:

providing new spectral measurements;

comparing said new spectral measurements to each of said pre-defined clusters according to extracted spectral features;

reporting those measurements as outliers for which a matching cluster is not found.

26. A method of developing calibration models for spectral analysis comprising the steps of:

defining clusters from an exemplar data set of spectral measurements, wherein said clusters exhibit a high degree of internal similarity;

mapping said clusters to one another, wherein principal features distinguishing clusters from one another are determined;

calculating a calibration model for a first of said clusters, said calibration model comprising a master calibration;

transferring said master calibration to at least one slave calibration, wherein a slave calibration comprises a calibration derived by applying a transform to slave spectra such that the master calibration now models the difference between the master cluster and another cluster corresponding to said slave spectra.

ABSTRACT

Spectrometer instruments are characterized by classifying their spectra into previously defined clusters. The spectra are mapped to the clusters and a classification is made based on similarity of extracted spectral features to one of the previously defined clusters. Calibration models for each cluster are provided to compensate for instrumental variation. Calibration models are provided either by transferring a master calibration to slave calibrations or by calculating a separate calibration for each cluster.

A simplified method of calibration transfer maps clusters to each other, so that a calibration transferred between clusters models only the difference between the two clusters, substantially reducing the complexity of the model.

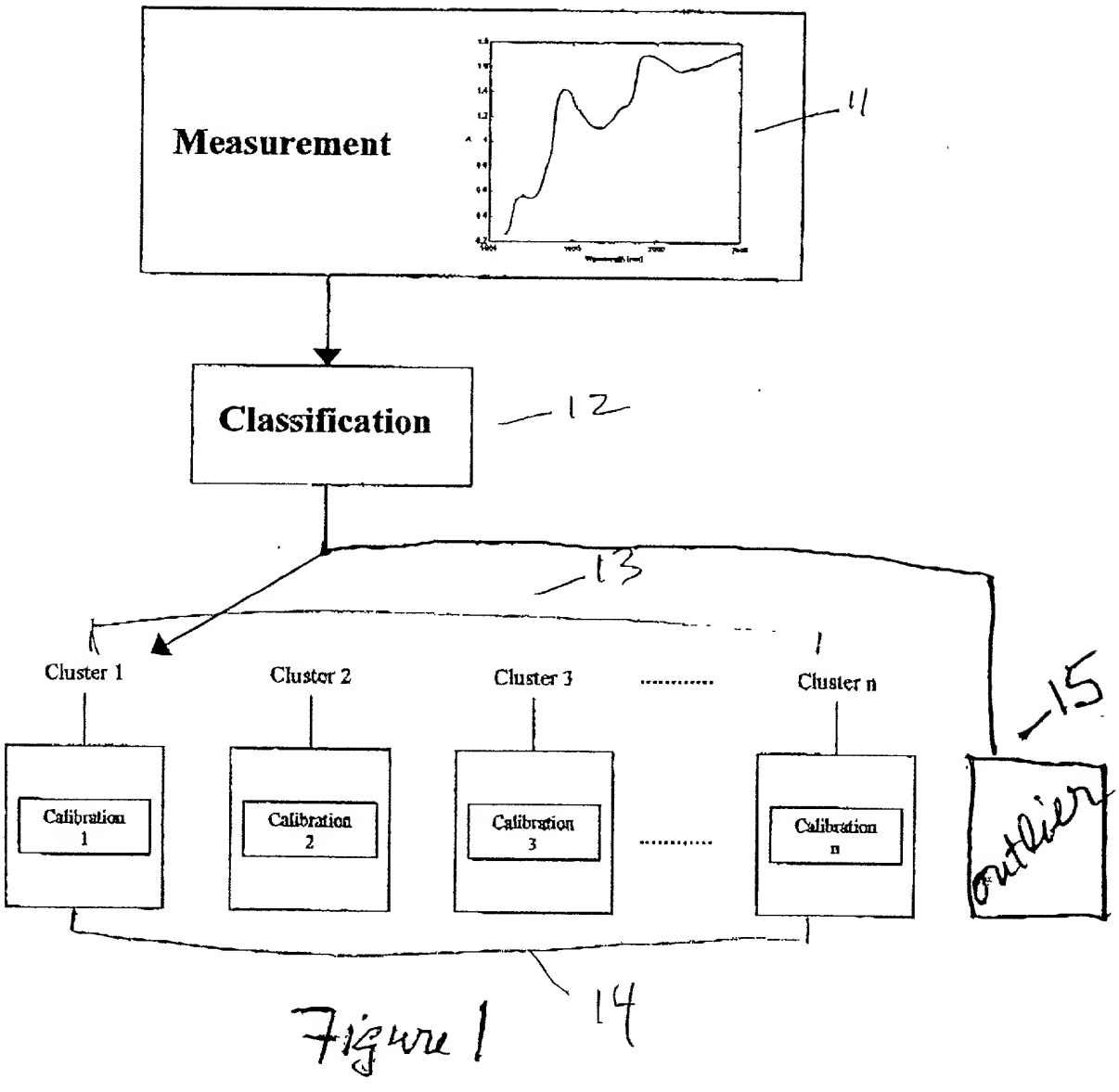
Measurement
11
Classification
12
13
Cluster 1
Cluster 2
Cluster 3
.....
Cluster n
15
Calibration 1
Calibration 2
Calibration 3
.....
Calibration n
outlier
14

Figure 1

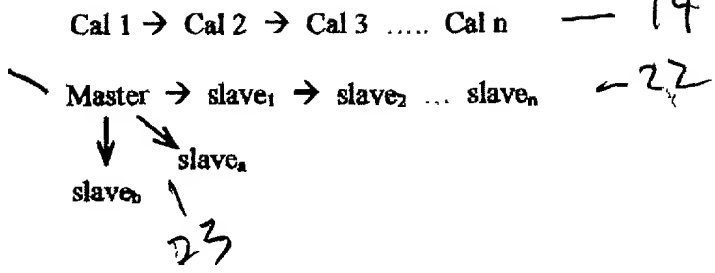
Cal 1 → Cal 2 → Cal 3 ..... Cal n
14
21
Master → slave1 → slave2 ... slaven
22
slavea
slaveb
23

Figure 2

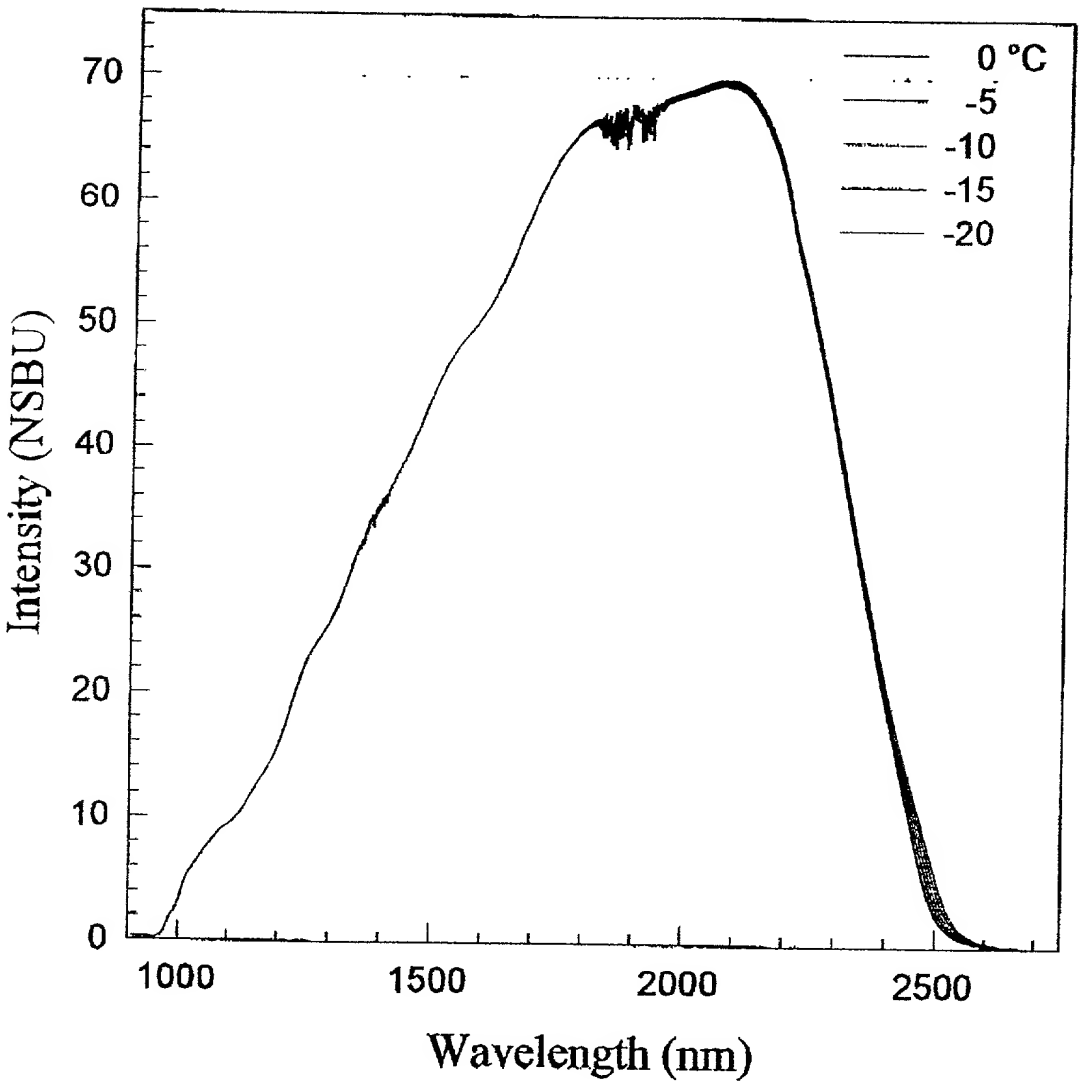
Varying detector temperatures
0 °C
-5
-10
-15
-20
Intensity (NSBU)
0
10
20
30
40
50
60
70
1000
1500
2000
2500
Wavelength (nm)

Figure 3A.

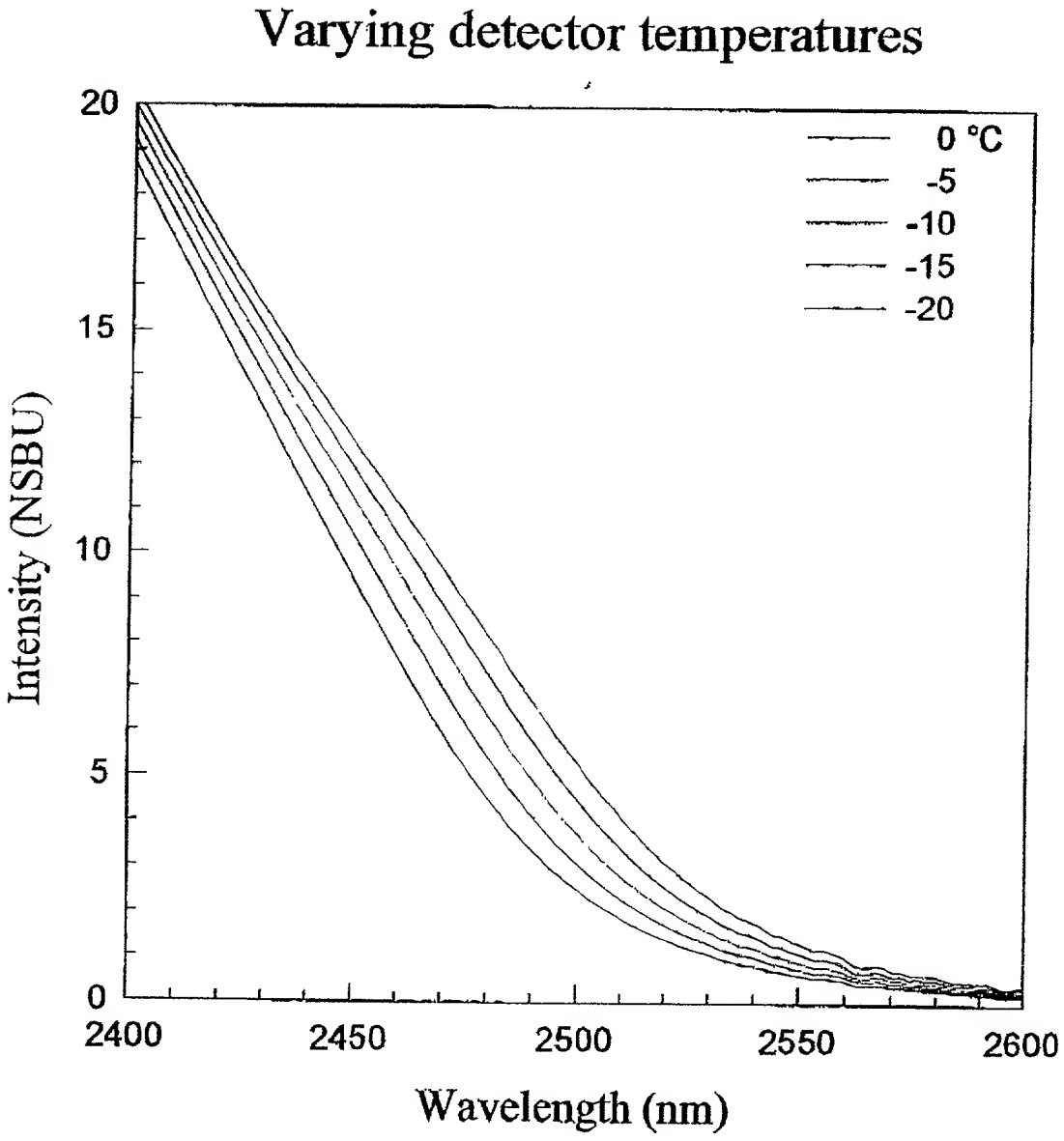
Varying detector temperatures
0 °C
-5
-10
-15
-20
Intensity (NSBU)
20
15
10
5
0
2400
2450
2500
2550
2600
Wavelength (nm)

Figure 3B

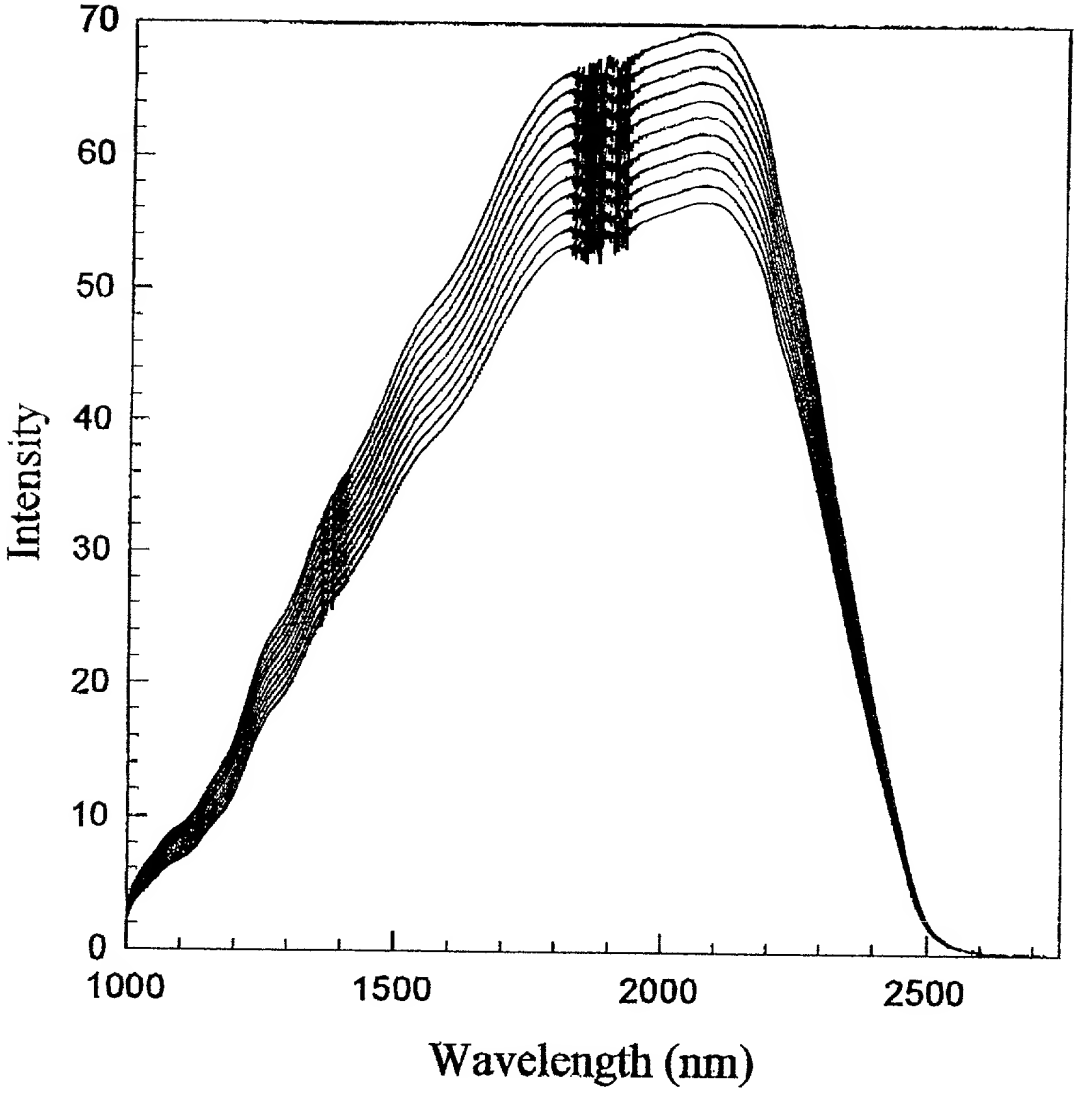
Variation of Intensity
with Source Temperature
Intensity
70
60
50
40
30
20
10
0
1000
1500
2000
2500
Wavelength (nm)

Figure 4

Attorney Docket No. IMET0040

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name;

I believe I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

A METHOD OF CHARACTERIZING SPECTROMETER INSTRUMENTS AND PROVIDING CALIBRATION MODELS TO COMPENSATE FOR INSTRUMENT VARIATION

the specification of which (check one) X is attached hereto, or ___ was filed on _____ as Application Serial No. _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

==========

I hereby claim foreign priority benefits under Title 35, United Sates Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)	Priority Claimed Yes	No
_____	____	____
Number Country Day/Month/Year Filed		
_____	____	____
Number Country Day/Month/Year Filed		

==========

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

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Attorney Docket No. IMET0040

I hereby claim the benefit under Title 35, United States code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Ser. No.	Filing Date	Status: Patented, Pending, Abandoned
09/359,191	JULY 22, 1999	Pending - Utility

==

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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